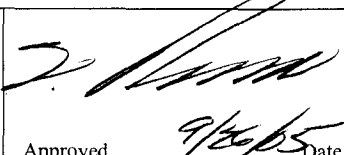


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| Office of Environment, Safety and Health | Business Practices for the Office of Nuclear Safety Research |  Approved <u>9/26/05</u> Date |
| EH-3x | Standard Procedure | EH-3x-SP-06 Rev 1 |

1. PURPOSE

This Standard Procedure specifies how the Office of Environment, Safety and Health, Office of Nuclear Safety Research (ONSR) will conduct its business, specifically program management and financial management.

2. APPLICABILITY

This Standard Procedure applies to the Office of Nuclear Safety Research (ONSR). This Standard Procedure is maintained by the Deputy Assistant Secretary for Corporate Performance Assessment.

This Standard Procedure is a living document that will be revised as conditions change, and as experience shows ways to improve it. The Office of Nuclear Safety Research welcomes constructive comments on this procedure.

3. OBJECTIVES

Consistent with the President's Management Agenda and to provide good stewardship of the taxpayers' money, the Office of Nuclear Safety Research will provide robust program management of the nuclear safety research function. This procedure outlines the process the ONSR staff should follow to ensure that there is clear strategic direction for the program, that a set of metrics measuring all aspects of the research life cycle are established and tracked, that all financial aspects of the office are carefully monitored, and that results can be demonstrated for the investments.

4. RESPONSIBILITIES

4.1. ONSR Program Analyst:

- Collects and analyzes metrics to ensure that short term goals are being met.
- Works with the EH Office of Planning and Administration to produce a periodic report tracking financial obligations and invoice payments.
- Works with project managers to produce a periodic value report showing what the Government got for its money.

4.2. ONSR Project Managers:

- Collaborate and coordinate with offices in other programs performing nuclear safety research to ensure that all offices share similar goals and objectives.
- Assist the Director in producing an Annual Nuclear Safety Research Plan and an Annual Nuclear Safety Research Report.

- Prepare, maintain, use and update as necessary, procedures for performing office tasks.
- Ensure that contract documents are prepared in such a way as to hold contractors accountable for cost, schedule and results of research.

4.3. Director of the Office of Nuclear Safety Research

- Provide strategic direction for the office.
- Produce an Annual Nuclear Safety Research Plan and an Annual Nuclear Safety Research Report.
- Lead the office in an annual self-assessment of the office.
- Arrange for an annual independent assessment of the office.

4.4. Budget Specialist from EH's Office of Planning and Administration

- Work with program analyst to produce a periodic report tracking financial obligations and invoice payments

5. REQUIREMENTS

5.1. Strategic Planning

- 5.1.1. The ONSR Director will provide strategic direction to the office. Strategic direction will clearly link to the strategic goals of EH and the Department. Such strategic direction shall include long term (multi-year) goals as well as short term (annual) goals that demonstrate progress toward achieving the long term goals.
- 5.1.2. Project managers and the program analyst will collaborate and coordinate with offices in other programs performing nuclear safety research to ensure that all offices share similar goals and objectives for nuclear safety research.
- 5.1.3. The ONSR Director, assisted by project managers, shall produce an Annual Nuclear Safety Research Plan outlining the research goals for the year, and an Annual Nuclear Safety Research Report outlining the program's accomplishments for the past year.

5.2. Program Management

- 5.2.1. **Metrics.** The program analyst shall collect and analyze metrics monthly to ensure that short term goals are being met. Example metrics are shown in Attachment 1.
- 5.2.2. **Procedures.** Project managers shall prepare, maintain, use and update as necessary, procedures for performing office tasks. An initial list of required procedures is included as Attachment 2.

- 5.2.3. **Financial tracking.** The program analyst shall work with the budget specialist from the EH Office of Planning and Administration to produce a monthly report tracking financial obligations and invoice payments. This report will demonstrate that funds are obligated in a timely manner, spent on the intended purpose, and invoiced promptly.
- 5.2.4. **Value.** The program analyst shall work with project managers to produce a simple monthly report showing what the Government got for its money. This is simply a tabulation of funds expended over the past month and a narrative description of what work was accomplished with those funds.
- 5.2.5. **Accountability.** Project managers shall ensure that contract documents (scopes of work, task orders, etc.) are prepared in such a way as to hold contractors accountable for cost, schedule and results. Techniques to use may include interim payments once specified milestones are achieved, and other performance-based incentives.
- 5.2.6. **Annual review.**
 - 5.2.6.1. **Self assessment.** Annually, the ONSR Director shall lead the members of the office in a self-assessment activity to evaluate whether the program being run effectively, steady progress is being made toward achieving goals, and whether changes in process are needed. Stakeholders may be invited to participate in this self-assessment.
 - 5.2.6.2. **Independent assessment.** Annually, the ONSR Director shall arrange for an independent assessment of the office and program. This can be accomplished by inviting or contracting with persons outside the program to perform the assessment. It may also be satisfied by an independent review performed for another reason such as an Oversight Assessment by the Office of Performance Assurance.

6. REFERENCES

DOE Implementation Plan to Improve Oversight of Nuclear Operations (in response to Defense Nuclear Facilities Safety Board Recommendation 2004-1), Rev. 1, June 2005

7. DEFINITIONS

None.

8. ATTACHMENTS

- 1. Example Metrics
- 2. List of Office of Nuclear Safety Research Procedures

Attachment 1 – Example Metrics

The following are general categories of metrics that may be applied to the Office of Nuclear Safety Research and the Nuclear Safety Research Program. The list is intended to be generic and not all-inclusive. Specific metrics, short term goals, and long term goals will be developed as called for in the procedure and published separately.

Example metrics:

- Milestones – These are generally dates by when an action must be taken. These metrics are usually associated with the startup of a program or process. For example, “ensure that adequate processes are in place and agreed upon by October 31, 2005”.
- Time – Time to accomplish a specific action or event. If time is of the essence, challenging but achievable time limits may be applied to keep the program aggressively moving forward. For example, “within 30 days of receipt of Lab bids for performing a research project, select and award the winning bid”.
- Culture – Difficult to measure, but reinvigorating an organization’s processes, such as nuclear safety research, might be judged by a change in culture, actions, or policies of the organization. For example, “nuclear safety research is not only utilized, but programs actually seek out research as they embark on new design projects or major modifications to existing projects”.
- Safety Margins – One result of successful nuclear safety research is to improve safety margins.
- Cost – Another result of successful nuclear safety research is reduced cost. This may include reduced costs due to avoiding accidents, due to avoiding time shut down for safety reasons, due to standardization across all DOE programs, and/or due to removing safety uncertainties from design or operation.

Attachment 2 – List of Office of Nuclear Safety Procedures

The initial set of procedures for the Office of Nuclear Safety Research shall include:

- Identification, Prioritization, and Approval of Nuclear Safety Research
- Surveying and Cataloging Nuclear Safety Research
- Managing Contracted Nuclear Safety Research Projects
- Disseminating Nuclear Safety Research Results
- Developing Work Authorization Statements and Contracts for Nuclear Safety Research
- Business Practices for the Office of Nuclear Safety Research